

Atty. Docket No. PU5028USW

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE: Application of: Sharon D. BOGGS, et al.

Serial No.: 10/535,228

Art Unit: To be assigned

Filing Date: May 17, 2005

Examiner: To be assigned

For: *Farnesoid X Receptor Agonists*

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Applicants request that the references identified on Form PTO-1449 appended hereto be considered by the Examiner and officially made of record in accordance with the provisions of 37 CFR 1.97

- ☒ Copies of the following references are enclosed. References # 3-17
☐ Copies of the references were submitted in parent application Serial No. _____. (37 CFR 1.98(d))
☐ A copy of the International Search Report which issued on International Application No. _____ is submitted herewith. All of the publications cited in the International Search Report are listed on the attached form PTO-1449 and Applicants understand that copies have been supplied to the U.S. Patent Office by the International Bureau.

- A. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing date of the above application or date of entry into the national stage of an international application or before the mailing date of a first Office action on the merits, whichever event occurs last. 37 CFR 1.97(b).

OR

- ☐ The Information Disclosure Statement submitted herewith is being filed before the mailing of a first office action after the filing of a Request For Continued Examination under 37 C.F.R. 1.114 (37 C.F.R. 1.97(b)(4)).

- B. ☐ The Information Disclosure Statement transmitted herewith is being filed after three months of the filing date of the above application or the date of entry into the national stage as set forth in § 1.491 of an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last, but before the mailing date of either:
- (1) a final action under § 1.113 or
 - (2) a notice of allowance under § 1.311,
- whichever occurs first.

- ☐ Applicant hereby certifies that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.

- ☐ Applicant elects the option to pay the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under § 1.97(c) (\$180.00).

Atty. Docket No. FUS028USW

- C. ☐ The Information Disclosure Statement transmitted herewith is being filed after a final action under § 1.113, or a notice of allowance under § 1.311, whichever occurs first, but before the payment of the issue fee. Also enclosed is a copy of the International Search Report which issued on International Publication No.

In accordance with the requirements of 37 CFR 1.97(d):

- ☐ Applicant hereby certifies that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement. [or]
- ☐ Applicant hereby certifies that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of this statement; and
- ☐ The petition fee set forth in § 1.17(i)(1) (\$180.00) is submitted herewith.

☒ Please charge any required fees to Deposit Account No. 07-1392.

☐ A duplicate copy of this paper is attached.

Respectfully Submitted,



Alice P. Bradney
Agent for Applicants
Registration No. 51,491

Date: May 9, 2006
GlaxoSmithKline
Corporate Intellectual Property
5 Moore Drive, P.O. Box 13398
Research Triangle Park, NC 27709-3398
Telephone: (919) 483-9024
Facsimile: (919) 483-5730

Sheet 1 of 2

Form PTO-1449	U.S. Department of Commerce Patent and Trademark Office	ATTY DOCKET NO. PU6028USW	SERIAL NO. 10/535 228
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use several sheets if necessary)</i>		APPLICANT BOGGS, et al.	
		FILING DATE May 17, 2005	GROUP To be assigned

U.S. PATENT DOCUMENTS

Examiner Initials		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
	1.	US-6167787-B1	02-13-2001	Pruitt et al.			
	2.	US-6167814-B1	02-13-2001	Elias et al.			

FOREIGN PATENT DOCUMENTS

		Document Number	Date	Country	Class	Subclass	Translation Yes No	
	3.	EP-512667-A1	04-26-1989	EP				
	4.	GB-2293390-A	03-27-1996	GB				
	5.	WO-2000/56902-A	10-12-2000	WO				
	6.	WO-2000/64876-A	11-02-2000	WO				
	7.	WO-2001/019778-A1	03-22-2001	WO				
	8.	WO-98/57951-A	12-23-1998	WO				

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc)

9.	BM FORMAN, ET AL.; Identification of a nuclear receptor that is activated by farnesol metabolites; Cell; 1995; 81; 687-693;
10.	DJ MANGELSDORF, ET AL.; The RXR heterodimers and orphan receptors; Cell; 1995; 83; 841-850;
11.	DW RUSSELL, ET AL.; Nuclear Orphan Receptors Control Cholesterol Catabolism; Cell; 1999; 97; 539-542;
12.	HOFMANN, AF; The Continuing Importance of Bile Acids in Liver and Intestinal Disease; Arch Intern Med; 1999; 159; 2647-2656;
13.	MALONEY, P, ET AL.; Identification of a Chemical Tool for the Orphan Nuclear Receptor FXR; J Med Chem; 2000; 43/16; 2971-2974;
14.	NEUBERGER J; Primary Biliary Cirrhosis; Lancet; 1987; 350; 875-879;

Examiner Signature	Date Considered
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Sheet 2 of 2

Form PTO-1449	U.S. Department of Commerce Patent and Trademark Office	ATTY DOCKET NO. PU5028USW	SERIAL NO. 10/535,228
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use several sheets if necessary)</i>		APPLICANT BOGGS, et al.	
		FILING DATE May 17, 2005	GROUP To be assigned

U.S. PATENT DOCUMENTS

Examiner Initials	Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate

FOREIGN PATENT DOCUMENTS

	Document Number	Date	Country	Class	Subclass	Translation Yes No
15.	WO-2001/025210-A2	04-12-2001	WO			

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc)

16.	SINAL, ET AL.; Targeted Disruption of the Nuclear Receptor FXR/BAR Impairs Bile Acid and Lipid Homeostasis; Cell; 2000; 102/6; 731-744;
17.	W SEOL, ET AL.; Isolation of proteins that interact specifically with the retinoid X receptor: two novel orphan receptors; Mol Endocrinol; 1995; 9; 72-85;

Examiner Signature

Date Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.